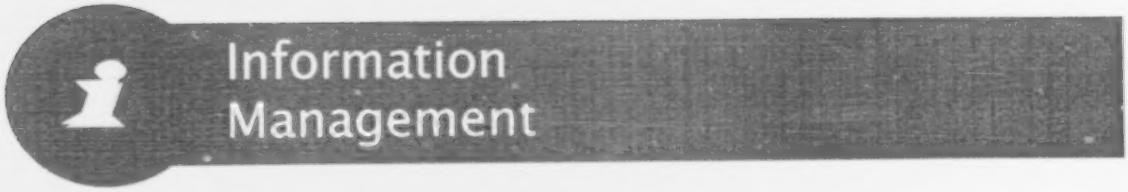

Information Management Planning

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1. Introduction

The Government of Alberta is committed to managing its information assets to support service delivery to Albertans, efficient and effective operations and to protect the value of its investments. The Information Management Framework[1] outlines principles and directives for managing all government information assets.

Implementing the principles and directives of the Information Management Framework requires a significant amount of planning.

This guide is intended for those responsible for information management within ministries in the Government of Alberta (GoA) to assist them in assessing the current state of information management in their ministry and in developing ministry information management plans that align with the Corporate Information Management Strategic Plan (available at http://www.im.gov.ab.ca/imf/pdf/InfoMgmtStrategicPlan.pdf).

Because information management planning is new for many organizations, the focus of this guide is on developing your first information management strategic plan. Like other planning activities, this plan will be updated annually. At the end of the guide, there is some guidance on revising the plan as well as other methods that can assist planning in future years.

The guide is organized around the key stages in the planning process. At the end of each section is a checklist to prompt you about the key activities or actions within that stage.

The need for information management planning

There are several business reasons for developing ongoing information management plans. These include:

- **Service Delivery**. Information assets are core to the business of your ministry and the government. Better information management can improve the delivery of services to clients, stakeholders and the public and support the service excellence agenda promoted by Service Alberta and key cross-ministry initiative objectives.

[1] The framework, "Information Assets in the Government of Alberta: A Management Framework," was adopted by Deputy Ministers Committee in April 2003. It is available at http://www.im.gov.ab.ca/imf/pdf/IMFrameworkSummary.pdf.

- **Limited resources**. Information management covers a wide range of activities. It is impossible to address all areas of information management at the same time on a continuous basis. Developing a plan will help you set priorities and improve the management of information to support your ministry's business objectives.

- **Different levels of readiness**. Within your organization, different business units will be at various stages of readiness. Attempting to change information management practices prematurely can lead to failure. Planning can help you assess "where to begin."

- **Linking information management planning to other planning activities**. The Government of Alberta has a strong commitment to business planning, operational planning and other planning activities such as human resources management, information technology, business continuity as well as knowledge management. Information management planning should be integrated with these other planning activities.

- **Coordination**. Developing ministry information management plans can lead to greater coordination across the ministry. This coordination can help you identify needs as well as implement and leverage best practices across the ministry.

- **Life cycle management**. Planning can help assure you that you are addressing issues of information management throughout the life cycle of information assets (see Figure 1).

Figure 1
Information Life Cycle

Context and scope of the plan

Context

Information management planning within your ministry takes place within the broader context of GoA corporate information management activities. The relationship between planning for information management program requirements, broader ministry initiatives and GoA information management activities is illustrated in Figure 2.

Figure 1
Information Life Cycle

Context and scope of the plan

Context

Information management planning within your ministry takes place within the broader context of GoA corporate information management activities. The relationship between planning for information management program requirements, broader ministry initiatives and GoA information management activities is illustrated in Figure 2.

Figure 2
Context of Information Management Planning in the GoA – 2005

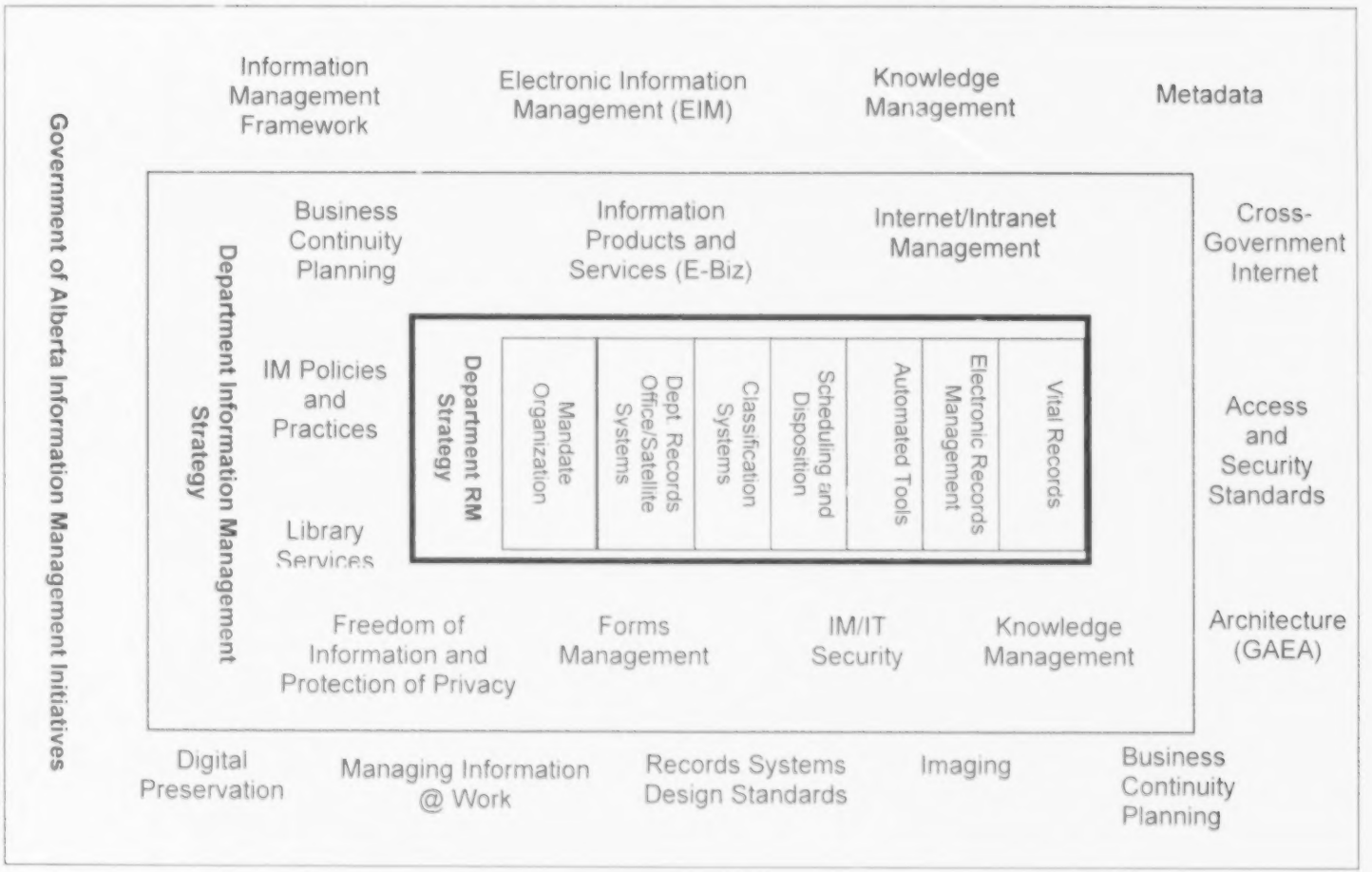
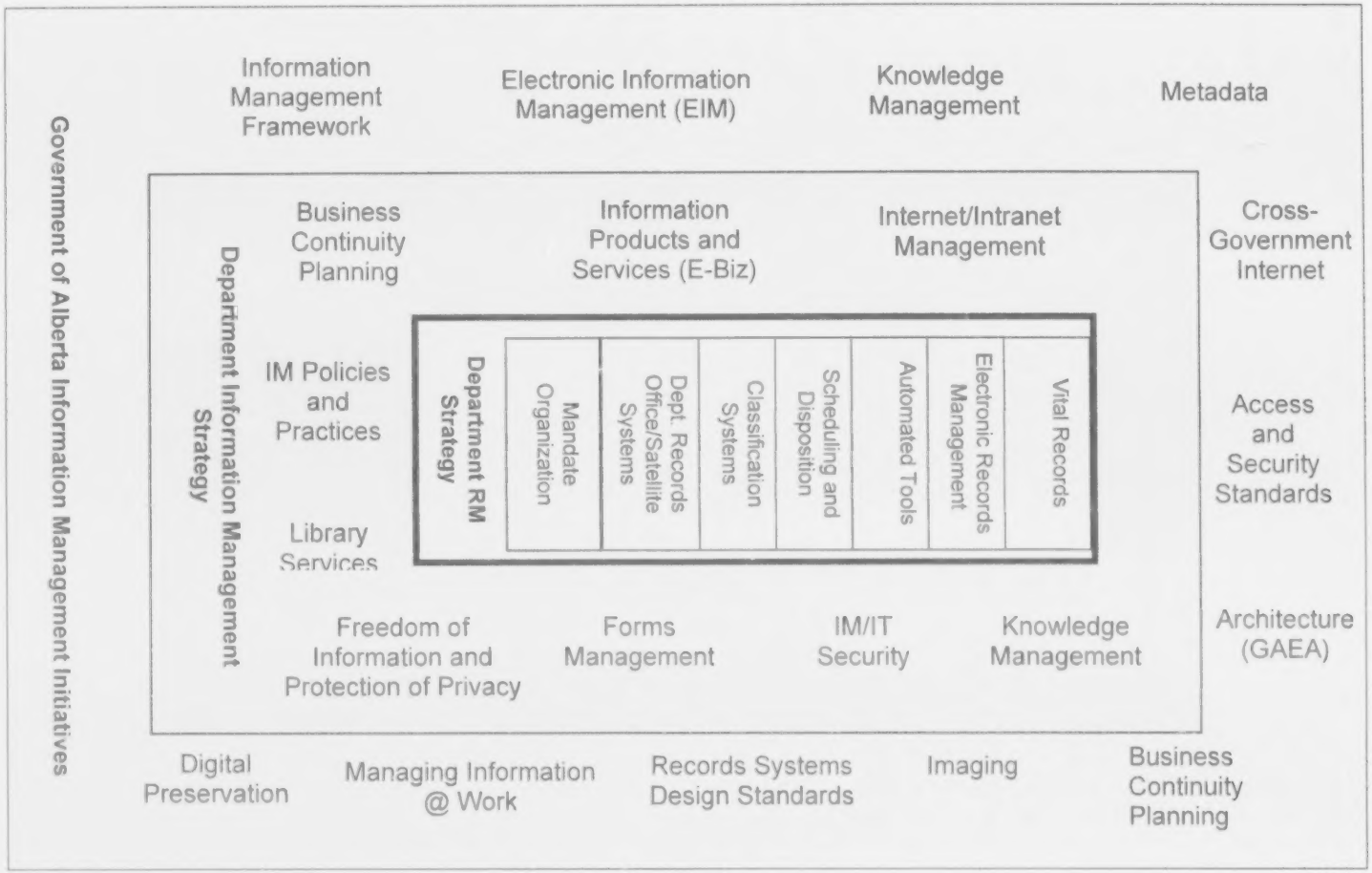


Figure 2

Context of Information Management Planning in the GoA – 2005



Scope

While scope may vary from ministry to ministry, a comprehensive information management plan should address the following areas:

- recorded information management (paper and electronic);
- data and database management;
- information products and services;
- web site management;
- resource centre collections and library usage;
- coordination and accountability;
- skills development and training;
- communications and awareness; and
- evaluating performance in information management.

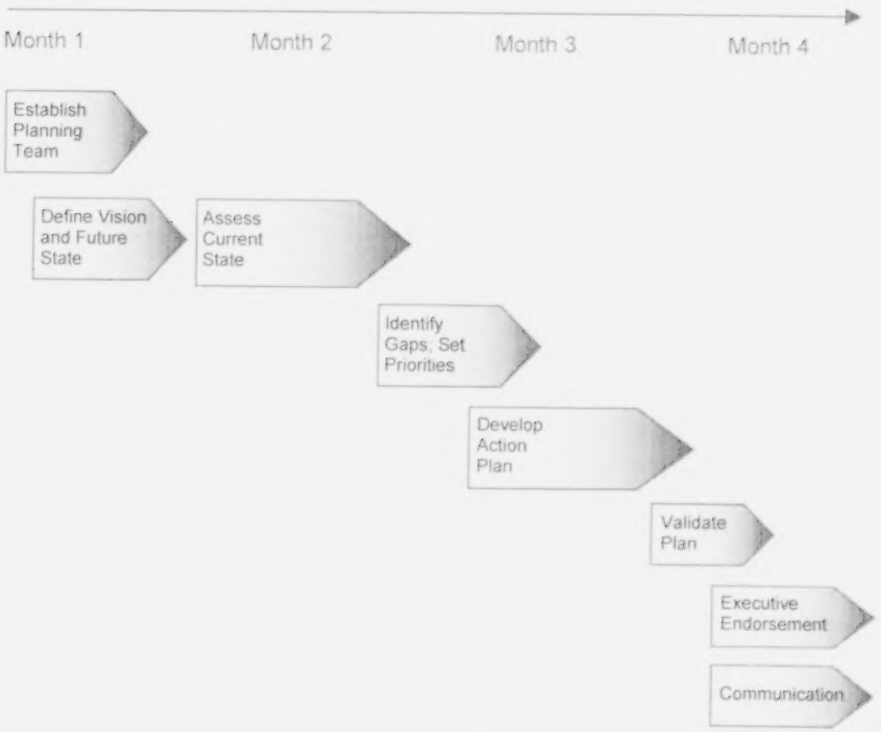
Good information practices in these areas provide critical support to your ministry's knowledge management initiatives. The plan should be developed with clear linkages to the ministry's knowledge management planning.

Developing the plan

Your information management plan can generally be developed in a relatively short period of time – three to four months. Ideally the timing of information management planning should coincide with business and information technology (IT) planning in your ministry. In this way, the plan will address the business direction of your ministry and the activities outlined in your plan can be included in your budget planning.

Figure 3 on the next page outlines the key steps in developing the plan.

Figure 3
Developing the Information Management Plan



Establish project team. Members should represent a mix of information practitioner communities (e.g., information management, records management, web management, libraries, knowledge management and IT) as well as the business units of the organization.

Define vision and future state. Before developing the plan, the team should define the vision and future state that you are trying to achieve. The vision and guiding principles of the Information Management Framework can set the stage for this discussion. However, it is important to define the future state in terms of the ministry's business objectives and operating environment. You'll want to consider broader Government of Alberta priorities as well as industry (national and international) standards and practices, the evolution of technology and the changing demographics of your ministry's human resources.

Assess current state. It is important to understand current practices related to information management. This will help you identify your ministry's information volumes and growth rates, its strengths (i.e., good practices that are in place), any gaps and will help you to recognize where you are starting from.

Identify gaps and set priorities. By analyzing the results of the interviews, current state assessment, the project team can then begin to identify gaps between current practices and the planned future state. For each gap, you'll need to assess "what needs to be done," "what is the level of effort required," and "what is the likely impact on the organization."

Develop the action plan. Based on your assessment of priorities, the next stage is to develop the action plan. The action plan should address all gaps. Typically, the action plan will be a three to five year strategic and tactical plan to improve information management practices in your ministry with the outcome of moving closer to the future state identified earlier in the process. The action plan should include an estimate of resources – both human and financial – required to carry out the plan.

Validate the plan. Because information management occurs in a distributed manner in most organizations, it is important to validate your plan with staff. This will allow you the opportunity to gain "buy-in" and to show how the plan will improve productivity and help the ministry achieve its business objectives. Based on the validation, you may end up making adjustments to the plan.

Executive endorsement and communication. Involve your executive management. Endorsement of the plan by executives will help integrate information planning into the strategic direction of the ministry. With executive endorsement, you can then implement your communications strategy for the plan.

2.
Establish Planning Team

Objective

Today's reality is that information management occurs in a distributed manner throughout the organization. Everyone is an information manager!

While information professionals (Records and Information Management specialists, Library staff, FOIP Coordinators, Information Technology Specialists, Knowledge Management specialists) provide expertise and support, they can't do it all.

Establishing a planning team can help ensure the plan is business-driven. It also supports a more integrated approach to information management.

Who to involve

The core planning team should have representatives from the range of information practitioner communities appropriate to your ministry. These typically include:

- Records management
- Information management
- Knowledge management
- Freedom of information and protection of privacy (FOIP) legislation
- Libraries
- Communications
- Web management
- Information technology services (including architecture, security)
- Archives
- Business continuity planning

It is critical that the team also include representatives from major business units or programs.

While the involvement of the team lead is likely to be substantial, the amount of time required from team members is likely to be about 1-2 days a month over the planning period. This time will be spent in preparation for meetings and review of documents, team meetings, developing the vision, setting priorities, validating the action plan and communicating with their business units.

Activities

The following activities typically occur at the beginning of the planning cycle:

1. **Develop project charter or terms of reference**. This will ensure everyone understands the nature of the work to be done and the expected outcomes. The project charter should include how the project will be managed (governance model) and a high-level communications plan – how you plan to communicate to staff and others about the planning process. It is important to get the project charter endorsed by executive decision-makers. This will ensure that you are able to get business units involved in the planning process.

2. **Review and discuss the Government of Alberta Information Management Framework**. Everyone on the team should be familiar with this asset management framework and what it means for your ministry as well as the corporate activities that are underway to support ministries. The Framework can be found at http://www.im.gov.ab.ca/imf/pdf/IMFrameworkReport.pdf and the Corporate Strategic Plan at www.im.gov.ab.ca/imf/pdf/InfoMgmtStrategicPlan.pdf. Alberta Government Services (Information Management Branch) is also available to provide support.

3. **Identify documentation to be reviewed**. What is in place in your organization, or elsewhere, that will support the planning process? For example, if you have an information plan in place, the team should review the plan to see where "you have been" and "where you are." You will also need to review the legislative and regulatory environment that affects the activities and requirements to document activities because information and records management policies and procedures should reflect the application of the legislative and regulatory environment to your business processes. Your ministry business plan, IT plan, and other plans should also be reviewed. Finally, government, national and international standards and resources such as the "ISO Standard 15489: Information and Documentation" will also support the planning team's work.

4. **Develop a detailed communications plan**. It is important to map your communications activities throughout each stage of the planning process. How are you going to let management and staff know about the planning process and the results? Your communications plan should include the timing of presentations to Executive Committee or to the Senior Management Team. You might also consider an announcement in a ministry staff newsletter or on the ministry Intranet.

5. **Approve project plan**. A typical planning cycle is about 3-4 months. However, to ensure you stay on target, establish a clear project plan with team meetings and key milestones noted in the plan.

Checklist

- ❑ Do you have adequate representation from business units?
- ❑ Do you have a project charter or terms of reference for the planning team?
- ❑ Is a presentation to Executive Committee or Senior Management Team needed?
- ❑ Do you have the commitment of team members for the needed amount of time?
- ❑ How will you communicate to staff about the planning process?

3.
Define Vision and Future State

Objective

The expression "if you don't know where you want to go, it's hard to plan the journey," holds true for information planning. Early in the process, it is important for the planning team to have a vision of what the future state for information management is in your ministry.

Activities

A facilitated "visioning" session can help the team develop both the vision and guiding principles. There are a number of factors to be considered in this visioning process:

- What will the technology environment likely to look like in 3 to 5 years time and how will this affect the management of information?
- What will the demographics of the ministry's human resources likely to be in 3 to 5 years time?
- What will the business of the ministry (i.e., its core programs and services) likely to look like?
- What are world-class leaders doing related to information management?

Your ministry's business plan and the Information Management Framework can guide your thinking on this. If your ministry is planning around knowledge management, you'll want to make the link between information management as a necessary support for effective knowledge management.

It is important that the team develop a clear vision and set of guiding principles that make sense in the context of your ministry not only today but in the years to come. How does information management support your business objectives? What information management behaviours are critical to your success?

For example, one ministry has created a vision that clearly articulates a full transition to the electronic work and information management environment from the more traditional paper repository environment as follows:

> "By 2010, the ministry will have the technology, practices and training in place to enable staff to effectively manage and use all information received and generated in the course of the ministry's business in an electronic work environment."

After the planning team has developed the vision and guiding principles, you may want to conduct sessions with other managers and staff in the ministry to make sure the vision and guiding principles communicate clearly what you are trying to achieve. This will also build awareness of the planning process and the issues you are dealing with.

The output from this stage of planning is an articulation of your vision and guiding principles for information management in your ministry.

Checklist

- ❑ Have you clearly articulated a vision and guiding principles for information management in your ministry?
- ❑ Do you need to involve others in validating these?

4.
Assess Current State

Objective

The plan needs to take into account where you are today – your current information management practices. A comprehensive current state assessment will include the following aspects of the information management environment in your ministry:

- **Volumes of information**: how much information is currently being managed and what are the projected growth rates?
- **Governance and Policy**: what governance structure and policies are in place?
- **Staffing and Skills**: what is the current level of staffing and skills for both IM professionals and all employees?
- **Standards and Practices**: what standards are in place and what are the current information management practices within business units?
- **Facilities**: what facilities for records and other information resources are available and what is their current state?
- **Service Partnerships:** what services are provided by partners and how are these relationships managed?
- **Supporting Tools and Technology**: what tools are in place to support information management and how do employees use these tools?

Activities

There are many ways to conduct the assessment of the current situation. These include:

- **Environmental scan**. While the focus of this stage of the planning process is on the current state within your ministry, it can be instructive to look at what other ministries and other organizations have done or are doing in terms of information management. You may also want to look at ministries involved in the same business areas in other jurisdictions.

- **Interviews with senior managers and executives**. Executives and managers will have their own perspective on the importance of information management to the business and where they think you are at risk currently as a result of weak information management practices.

- **Interviews with key information management professionals.** Information management professionals can help you assess the current volume of information assets (and rates of growth) as well as the extent to which policies are in place related to information management. It will also be important to assess the current state of governance and accountability with respect to information management in the ministry. Templates to help you assess the volume of information assets in included in the Current State Assessment Tool Kit (see Appendix 1).

- **Self-assessment workshops with line managers and staff**. One of the best ways to assess current practices is to conduct workshops with line managers and staff. A self-assessment tool can be used in these workshops. A sample tool can be found in Appendix 1.

- **Online staff surveys**. A survey of staff gives you a quantitative assessment of current practices. The value of the survey is to ensure that all staff in the ministry have an opportunity to have input into the planning process. A sample survey can be found in Appendix 1.

- **Consultation with external stakeholders**. If your ministry produces a lot of information products and services, or it involves partners in service delivery, your information management practices may affect these clients and partners. Consulting with them can give you an indication of what is working, what is not working and opportunities for improvement.

You will likely want to use a combination of these methods.

Most organizations find that practices vary widely across the organization. There are examples of very good information management practices and there are examples of weak information management practices. Information management practices also vary depending on the medium in which records and information are kept (i.e., management of electronic information is usually more varied and less disciplined than management of paper records).

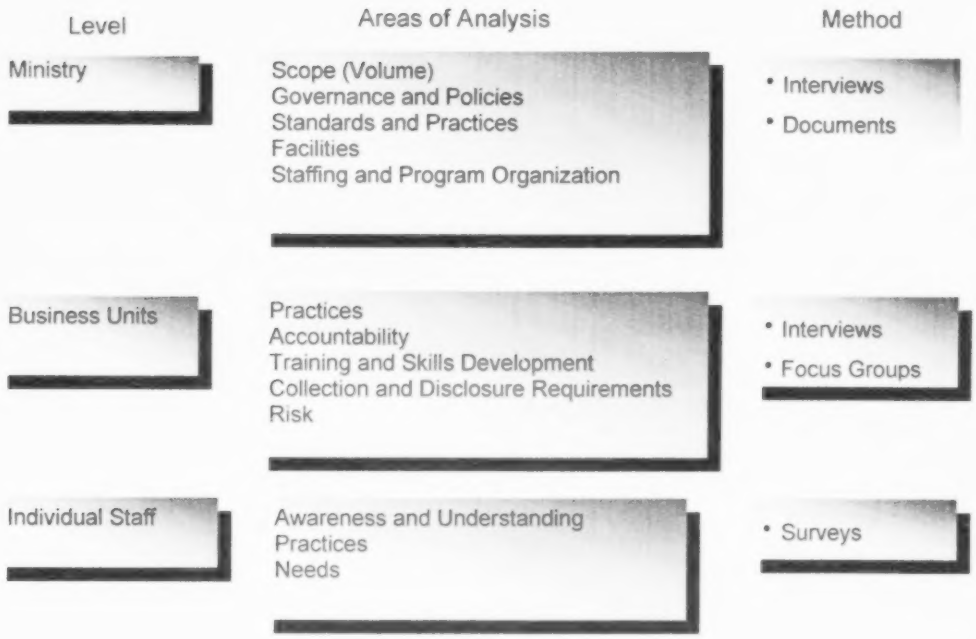
The expected outcome of this stage is both quantitative and qualitative information that adequately describes the current state of information management in the ministry.

Using the current state assessment tool kit

The current state assessment tool kit (see Appendix 1) is organized around three levels of analysis – the ministry, business units, and staff.

Figure 4 illustrates the different levels of analysis and the types of information you are looking to gather and analyze, as well as suggested methodologies at each level.

Figure 4
Current State Assessment
Levels of Analysis



The following briefly discusses the rationale and focus of analyzing various aspects of your current state in information management related to recorded information management, data and database management, information products and services, information resource centre management, accountability, training, and integration of information planning with other planning activities.

Recorded information management

Records management governs the practice both of records managers and of any person who creates, receives or uses records in the course of their business activities.

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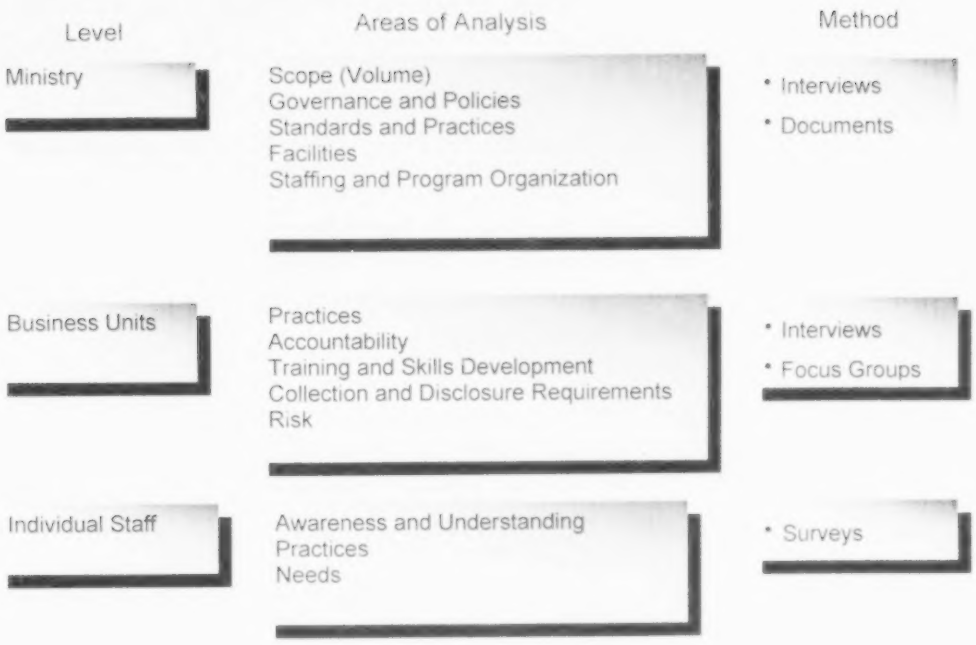

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Recorded information management

Records management governs the practice both of records managers and of any person who creates, receives or uses records in the course of their business activities.

The Government of Alberta is committed to ISO Standard 15489 – "Information and Documentation (Records Management)." A copy of this standard may be purchased on-line from the ISO Store at http://www.iso.org/iso/en/prods-services/ISOstore/store.html.

The core principles of records management are to maintain the authenticity, reliability, integrity and usability of recorded information and to effectively manage its life cycle.

Authenticity. An authentic record is one that can be proven to

- be what it purports to be,
- have been created or sent by the person purported to have created or sent it, and
- have been created or sent at the time purported.

To ensure the authenticity of records, organizations should implement and document policies and procedures which control the creation, receipt, transmission, maintenance and disposition of records to ensure that records creators are authorized and identified and that records are protected against unauthorized addition, deletion, alteration, and use.

Reliability. A reliable record is one whose contents can be trusted as a full and accurate representation of the transactions, activities or facts to which they attest and can be depended upon in the course of subsequent transactions or activities.

Integrity. The integrity of a record refers to its being complete and unaltered. Records should be protected against unauthorized alteration. Records management policies and procedures should specify what additions or annotations may be made to a record after it is created, under what circumstances additions or annotations may be authorized, and who is authorized to make them. Any authorized annotation, addition or deletion to a record should be explicitly indicated and traceable.

Usability. A useable record is one that can be located, retrieved, presented and interpreted. It should be capable of subsequent presentation as directly connected to the business activity or transaction that produced it.

During the self-assessment, you will need to consider the following:

- **Records are captured into your ministry information management repository**. Are all records of business activities captured? Is there a clear business reason for collecting or creating the record?

- **Classification**. Is the records classification structure up-to-date and understood and used by staff?
- **Metadata**. Are recordkeeping metadata standards in place?
- **Vocabulary controls**. Do you need to establish vocabulary controls (i.e., a taxonomy) related to your business to support metadata requirements?
- **Storage and handling**. Are current storage practices adequate to meet the principles of usability, reliability, authenticity, and integrity?
- **Access**. Are access guidelines articulated and followed?
- **Privacy**. Do information management practices comply with FOIP?
- **Security**. Are practices in place to label, transmit and store protected, confidential and restricted records?
- **Tracking**. Are appropriate tracking mechanisms in place to enable retrieval of records and prevent loss of records?
- **Vital records**. Are vital records identified and protected?
- **Retention and disposition schedules**. Are they complete and up-to-date?
- **Disposition**. Are disposition processes being followed?
- **Services**. Are the records management services provided to ministry staff adequately meeting their needs?

More and more, the business of government is conducted in an electronic environment. The information management plan should address the issue of consistency of management of records, regardless of medium. In practice, you'll need to assess the degree to which electronic records are adequately managed to meet the principles of usability, reliability, authenticity, and integrity.

Records management practices will affect the following principles of the GoA Information Management Framework – **accessibility**, **usability**, an **integrated approach**, and **optimizing the value of information assets**.

Data and database management

Most ministries have developed databases over a period of time to meet different business needs. Often, different data standards have been used, depending on the original need for the database. Different data standards can make it more difficult to use information once, for multiple purposes and often impedes effective analysis of ministry data for policy and program management.

As more and more government work is performed in conjunction with partners and stakeholders, data standards may need to be reviewed to ensure that all users are using common standards.[2]

The Government of Alberta Enterprise Architecture (GAEA) and government-wide data standards can help ministries develop data architectures and data models to support their business functions.

In addition, it is becoming increasingly important for structured data to be managed throughout its life cycle in a consistent way with other information assets in the program area.

Effective database management contributes to the **accessibility** of information and supports other principles of the Information Management Framework, including the achievement of an **integrated approach** to managing information assets.

Information products and services

All ministries produce information products and services. The range of these products and services is enormous – from general interest Internet sites, to specialized print and electronic publications, to highly specialized transactional services for clients.

The information management plan should (a) help business units manage these products and services in a disciplined manner and (b) identify new opportunities for products and services to meet the business needs of the ministry.

Information products and services should have a product plan in place. A typical product plan includes:

- **Objective**. A brief description of the objective of the product (what you are trying to achieve).
- **Description**. Identification of the intended audience, the value to the user, and the relevance of the product to the ministry's business.
- **Product management**. Identification of responsibilities for managing the product (individual or team).
- **Content management**. An outline of the content and plan for ongoing management (creating, reviewing, approving, updating, deleting) of content.

[2] The Government of Alberta has established many common data standards at the corporate level. These can be found on the shared repository at http://www.sharp.gov.ab.ca/.

- **Intellectual property management**. Identification of copyright protection requirements, pricing and sales as applicable.
- **Marketing plan**. Activities planned to market or promote the product with the intended audience.
- **Quality control and evaluation plan**. Activities planned to evaluate whether the product continues to meet the needs of users as well as evaluation of the viability and business value of the product (this will require setting the appropriate time to evaluate based on the time needed to fully develop and implement the product).

In addition to developing greater discipline around individual product management, ministries may want to establish publishing standards and practices related to management of Internet, Intranet and extranet sites.

Information management practices should also be in place to identify new product opportunities. This includes identifying synergies with products produced by other ministries and others (e.g., other levels of government) to improve the value of information products and services to clients.

Effective practices related to the management of information products and services will affect support the **accessibility** and **usability** principles of the Information Management Framework.

Resource centre collections and library usage

Ministries receive numerous publications such as books, newspapers, periodicals, and other publications from external sources. These resource collections support research and other program-related activities. Recently, there has been a shift in demand for centralized resource collections (e.g., library) to more decentralized resource collection management (either virtually electronically, or physically in hard copy within major business units). Resource centre management will include the user needs analysis, and helping users.

The effective management of these resources can support the **accessibility** and **usability** principles of the Information Management Framework.

Accountability and coordination

Ongoing management of information requires clear articulation of accountability. Most ministries also find that some degree of coordination is required. The relevant components of accountability and coordination are:

- **Executive champion**. The Information Management Framework requires all ministries to designate an executive champion for information management.
- **Accountabilities for information management**. An accountability framework that articulates accountability for information management, including high level accountability of the executives, as well as accountability of program managers, staff, and information practitioners (e.g. FOIP, Records Management, Information Management, IT Management).
- **Mechanism for coordination**. A mechanism to enable the various information management communities to act in a coordinated way.
- **Mechanism for ongoing management of the plan**. While one branch or business unit might be charged with leading the plan, a mechanism needs to be established to (a) identify new strategic objectives and needs for information management and (b) enable business units to leverage practices. Many ministries have established an Information Management Coordinating Committee to meet this need.

These practices support the principle of **accountability** in the Information Management Framework. For further guidance on accountability, see the publication "Accountability for Information Management: A Model" (available at http://www.im.gov.ab.ca/publications/pdf/InfoMgmtAccountabilityModel.pdf).

Skills development and training

The assessment should address ongoing skills development and training requirements related to information management. These include:

- skills development and training for information management professionals;
- a plan for the in-house customization (if required) and delivery of the "Managing Information @ Work" staff awareness session (available at http://www.im.gov.ab.ca/index.cfm?page=secure/miw/) or its equivalent; and
- the need for and plan for providing any supplementary training for staff related to information management practices (e.g. training in transitory records; using metadata) and/or the use of information management tools (e.g., use of common drives, use of electronic mail and electronic information management (EIM) technology).

Skills development and training support the principle of an **integrated approach** to information management.

Linking information planning to other planning activities

The assessment will also identify the extent to which information planning is linked to the following planning activities already established within the Government of Alberta:

- **Business and budget planning**. Is information that supports the core businesses, goals and strategies identified?
- **Operational planning**. Are information needs to support operational activities identified? Where will the information come from? Who will manage it? Can its value be leveraged in other parts of the ministry or with other ministries?
- **Information technology planning**. Is information management planning integrated with the annual information technology plan?
- **Business continuity planning**. Are vital records identified? Are practices in place to ensure information is accessible to support business continuity?
- **Human resource management planning**. Will information management practices support the way employees work?
- **Knowledge management planning**. Will information management support the organization in moving towards effective knowledge capture and collaboration?

Integrating information planning with other planning activities supports the principle of **a planned and coordinated approach**.

Checklist

- ❑ Have you identified what methods you'll use to document the current state?
- ❑ Have you identified the participants for interviews and/or workshops?
- ❑ Have you documented the results – both quantitative and qualitative – that explain the current state of information management in the ministry?

5.
Identify Gaps, Scope Solutions, Set Priorities

Objective

The assessment of current practices gives you a clear picture of where you are. The objective of this stage is to

- compare where you are and where you want to be,
- identify a means of getting there, and
- setting priorities.

Activities

This stage will involve intensive discussion among the planning team.

1. Identify opportunities based on the "gap" analysis. Opportunities can be related to single practices or a collection of information management practices.

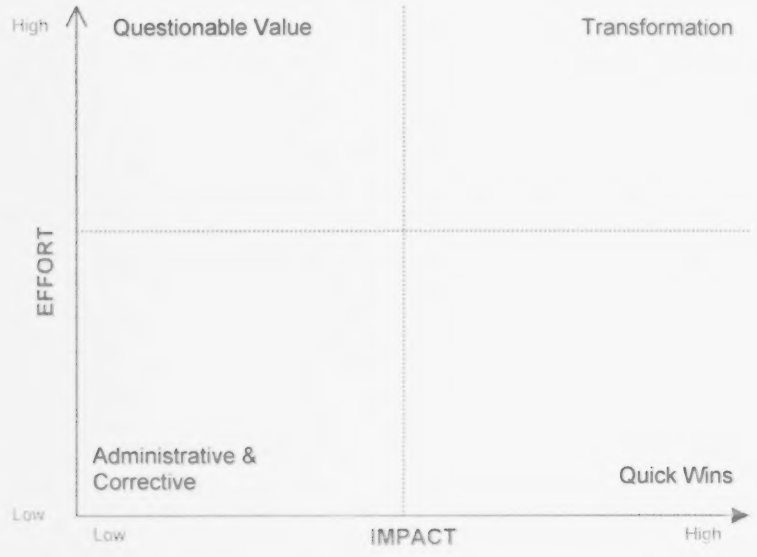
2. Define the scope of each opportunity, including:
   - what can be done,
   - who needs to be involved,
   - what will it cost,
   - how long it will take, and
   - what is the expected outcome.

3. Establish priorities. It is quite likely that you'll identify more opportunities than you have resources to address.

As more and more ministries are moving to integrated electronic information management (EIM) solutions to manage all information assets throughout their life cycle in an electronic format, you will find valuable advice on planning for EIM at http://www.im.gov.ab.ca/publications/pdf/ImplementEIMguide.pdf.

The matrix in Figure 5 can help define your priorities based on the level of effort and the impact on the ministry.

Figure 5
Assessing Gaps and Setting Priorities



Checklist

- ❑ Have you documented and scoped all of the opportunities?
- ❑ Have you identified a manageable number of priorities – both short-term (quick wins) and longer term?

6.
Develop the Plan

Objective

To document the ministry information management plan.

Plan Content

The actual plan can take many forms. Links to sample plans from various ministries can be found in the Resource Room on the secure portion of the Information Management web site at www.im.gov.ab.ca/index.cfm?page=secure/resourceroom/.

To be consistent with government planning cycles, the plan should cover a three-year period. This will allow you to map out opportunities both for the short-term (1 year) and longer term. However, because of the magnitude of the improvements that need to be made and the costs (e.g., the cost of acquiring and implementing an EIM solution), a longer-term plan (5 years) may be suitable in some cases.

The results of your planning process will likely be documented in three parts:

1. Report on the current state assessment.
2. The information management strategic plan.
3. A communications plan for moving forward.

The information strategic plan will contain the following components:

- **Executive Summary**.
- **The Vision and Guiding Principles**. An articulation of your future state.
- **The Action Plan**. Identification of opportunities, including timing, resources, performance measures and implementation issues (change management).
- **Accountability and Coordination**. Mechanisms you are going to put in place to establish clear accountabilities and coordination.

While the focus of your efforts is on the information management strategic plan, it is important to also plan on how you will communicate this plan in the ministry. A sample communications plan can be found in Appendix 2.

Checklist

- ❑ Have you included all necessary components of the plan?
- ❑ Is your action plan manageable?
- ❑ Have you taken into account interdependencies among the action items that may affect the timing of each?
- ❑ Have you budgeted appropriate resources for the plan?

7.
Validate Plan, Executive Endorsement and Communication

Objective

Before proceeding with the plan, you'll want to make sure it addresses the priorities of those you consulted earlier in the process. Some sort of validation process is highly recommended.

Activities

There are many ways you can approach the validation stage. First, planning team members can communicate the draft plan to their colleagues and bring the feedback back to the full team for discussion.

Alternatively, you could conduct workshops with the same individuals who participated in workshops during the assessment of the current state. The value of this method is it allows you to communicate the plan to those who had input into the process. It enables you to show that you "listened," and can be valuable in building awareness and support for the plan. Another approach is to hold sessions with various division/branch management teams.

After validating the plan, executive endorsement will raise the visibility of the plan and demonstrate the ministry's support to a more planned and disciplined approach to information management.

Checklist

- ❑ How are you going to validate the plan?
- ❑ What key messages will build understanding and support for the plan?
- ❑ What key messages will "sell" the plan to executives?
- ❑ How will you communicate the plan to staff?

8.
Updating the Plan and Other Types of Planning Tools

Annual planning

If information management planning is to be integrated into your business, your planning should be integrated into the annual planning cycle of your ministry – business planning, operational planning, human resources planning, business continuity planning.

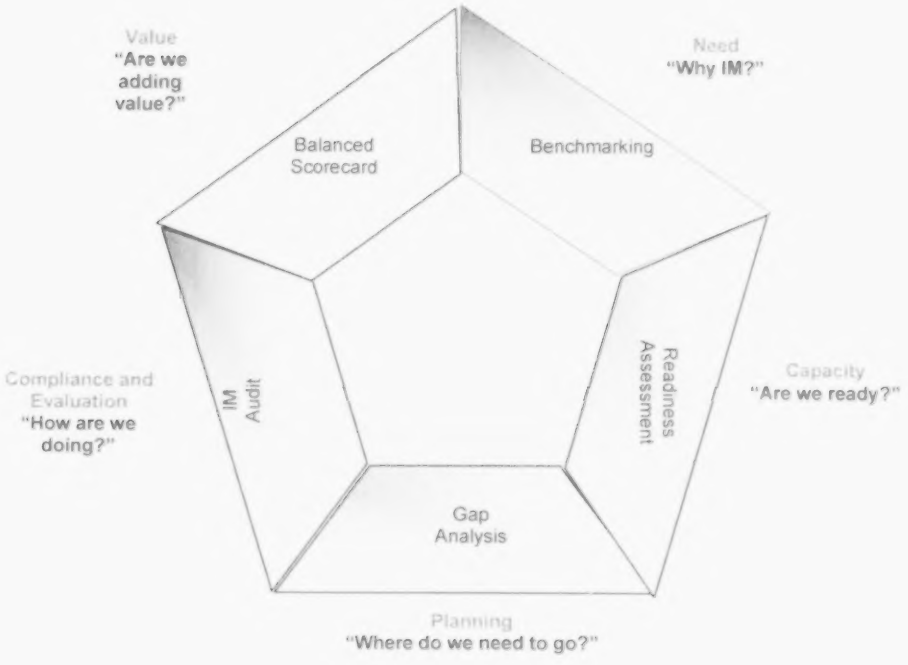
Each year, in concert with other planning cycles, the information management plan should be updated to reflect changing needs and priorities.

It is unlikely that you will want to conduct the current state assessment annually. However, every two to three years it may be useful to repeat the current state assessment so that you can track progress in information management.

Other planning tools

The focus in this guide has been on building your information management plan. However, there are other tools available to help you manage and evaluate information management practices within your ministry. How you use these approaches will depend on your purpose and your experience with a formal, coordinated information management program within your ministry. Figure 6 outlines the types of assessments available and the purpose of each.

Figure 6
Information Management Assessments



As part of the planning process, you should consider the timing of when each of these types of assessments would be relevant in your ministry.

Checklist

- ❑ At what intervals will you do the current state assessment?
- ❑ Do you have a performance management plan for information management? What is the timing of measurement? What measurement techniques will you use and when?

Appendix 1:
Current State Assessment Tool Kit

1. Introduction

Purpose

A key step in information management planning is assessing the current state of information management within the ministry. This process can help identify information volumes and growth rates, good practices that are in place as well as gaps and provides a basis for setting priorities in the plan.

This tool kit has been developed as an aid to ministries when they are doing strategic and operational information management planning. Ministries will want to adapt the tools to meet their specific business and information management environments.

Overview

A comprehensive current state assessment will include the following aspects of the information management environment in the ministry:

- **Volumes of Information**: how much information is currently being managed and what are the projected growth rates?
- **Governance and Policy**: what governance structure and policies are in place?
- **Staffing and Skills**: what is the current level of staffing and skills for both IM professionals and all employees?
- **Standards and Practices**: what standards are in place and what are the current information management practices?
- **Facilities**: what facilities for records and other information resources are available and what is their current state?
- **Service Partnerships**: what services are provided by partners and how are these relationships managed?

- **Supporting Tools and Technoiogy**: what tools are in place to support information management and how do employees use these tools?

These component parts, associated variables, and the appropriate level of analysis are outlined in Table 1.

Table 1

Areas of Analysis, Variables, and Level of Analysis

Variables	Ministry	Business Unit	Individuals
Governance and Policy			
IM Policies	✓		
IM Champion	✓		
IM Coordination	✓		
IM Accountabilities	✓	✓	
Level of Awareness of Corporate and Ministry Policies			✓
Degree of Compliance with Policies		✓	
Collection and Disclosure Requirements	✓	✓	
Staffing and Skills			
Number of Information/Records Management Professional Staff (e.g., Records Management, Library, Web Site Management, Data Management)	✓		
Core Competencies Established for IM Professional Staff	✓		
Core Competencies Established for All Staff		✓	
Training/Development for IM Professional Staff	✓		
Awareness Training for All Staff	✓	✓	✓
Advanced/Follow-Up Training for All Staff	✓	✓	✓
Knowledge Levels of Staff			✓

Variables	Ministry	Business Unit	Individuals
Performance Management	✓	✓	
Standards and Practices			
Classification	✓	✓	
Retention and Disposition	✓	✓	
Life-Cycle Management	✓	✓	
Document and File Management		✓	✓
Information Products and Services Management (e.g., print publications, electronic publications, web sites, data sales, training courses, research services)		✓	
Security of Information		✓	
Vital Records and Business Continuity		✓	
Information Planning Integrated with Business Planning		✓	
Facilities and Scope of Records			
Resource Centres (physical access, electronic access)	✓	✓	
Records Storage Facilities (space, security controls, environmental controls)	✓	✓	
Volume of Information and Records	✓	✓	
Service Standards			
Controls (e.g., security, handling, access)	✓	✓	
Performance Monitoring and Evaluation	✓	✓	

Variables	Ministry	Business Unit	Individuals
Supporting Tools and Technology			
Scanning Pactices		✓	
Electronic Information Management (EIM)	✓		
Desktop Tools	✓		✓
Server Capacity/Organization (security and access controls)	✓		
Individual and Common Electronic Workspace		✓	✓
Intranet Management	✓		✓
Web Site Management	✓		✓

To assess these variables at the various levels will require multiple methodologies. Table 2 outlines a proposed methodology for the current state assessment.

Table 2
Proposed Methodology

Level Assessment	Variables To Be Assessed	Proposed Methodology
Ministry	▪ Policies adopted ▪ Policies in development ▪ # of staff ▪ Volume of records (print, electronic, other formats) – both active and semi-active ▪ Locations of storage ▪ Security controls ▪ Environmental controls ▪ Resource centre management and use ▪ Internet/Intranet sites ▪ State of classification ▪ State of retention/disposition scheduling ▪ Reporting relationships ▪ Roles and responsibilities (IM/RM personnel as well as other personnel) ▪ Vital records program ▪ Training and education programs ▪ Information collection requirements ▪ Information disclosure requirements ▪ Service provider management	Interview key staff in the following areas: ▪ Records Management (including ACSC) ▪ IT Service Providers ▪ Library/Resource Centres ▪ Web Site Management ▪ FOIP ▪ Accommodations ▪ Site visits to facilities and perhaps digital photos. ▪ Review of current documents such as policies, procedures, user guides, classification structures and schedules, information sharing agreements and contracts. ▪ Review of legislation the ministry is responsible for.

Level Assessment	Variables To Be Assessed	Proposed Methodology
Business Units	▪ Classification ▪ Retention and disposition ▪ File management ▪ File access ▪ Security ▪ Publication management ▪ Performance management ▪ Training and skills development ▪ Scanning practices ▪ Risk assessment ▪ Resource centres	▪ Facilitated sessions with key staff in business units. ▪ Attendees to be identified in consultation with "key contacts." Need to have a mix of professional business staff, management and support staff. ▪ Attendees to receive assessment tool ahead of time.
Knowledge and Needs of Staff	▪ Awareness of responsibilities ▪ Understanding/knowledge of policies ▪ Handling personal information ▪ Information needs (internal via the Intranet) ▪ Training needs ▪ Perception of access ▪ Improvement areas	▪ Staff survey. ▪ Administered through Intranet.

The following sections of this document contain instruments that can be used for each level of analysis.

2. Ministry Level Assessment

Scope and State of Information and Records

This data collection tool will be used to assess the current scope and state of information and records at [ministry name]. It is organized into the following categories:

- Paper Records
- Database Applications
- Other Electronic Information (e.g. office documents, e-mail)
- Internet/Intranet Sites
- Other Formats (e.g., microformats; photos, maps, etc.)
- Resource Centres

1. Paper Records

Location	Active Records		Semi-Active Records		Security & Access Controls/Comments
	Linear Feet	# of Boxes	Linear Feet	# of Boxes	
Central Records Offices					
Semi-Active Storage Areas					
Alberta Records Centre					

2. Database Applications

Name of Application	# of Records	Total Size of Database	Average Record Size

3. Other Electronic Information

This section is divided into two components:

- Office Documents
- Electronic Mail

Office Documents

Server for File Storage	.doc files		.ppt files		.xls files		Other files		Capacity	# of Partitions	% Used
	# of Files	Avg. Size	# of Files	Avg. Size	# of files	Avg. Size	# of Files	Avg. Size			

1. Is it possible to get historical information (i.e., growth in types of files) even for current year, or comparison to last year?
2. Is it possible to get an estimate on the percentage of duplication of files (file comparison)?

Electronic Mail

# of Email Accounts	Total Size of E-Mail	Average Size of E-Mail	Top 10% Avg Size	Bottom 10% Avg Size

4. Internet/Intranet Sites

Site (URL)	# of Pages	# of Documents

5. Collections of Other Formats (e.g., microfilm, microfiche)

Description	Location	Volume (#)	# of Users	Security Features

6. Resource Centres

Location	# of Volumes	# of Users
Alberta Government Library		

Information and Records Management Program

Interviews will be conducted with information and records management staff to answer the following questions.

1. What is the current plan for Information and Records Management at [ministry name]?
2. What policies, standards and guidelines have been adopted by [ministry name] related to information and records management?
3. What policies, standards, and guidelines are under development related to information and records management?
4. Does [ministry name] have an accountability matrix for information and records management?
5. What is the structure of the records management program? (Number of staff, job descriptions, reporting relationships.)
6. What agreements are in place with external service providers (ACSC, IT Service Providers, Delegated Regulatory Organizations) and who has responsibility for managing them?
7. What training programs are in place related to information and records management for [ministry name] staff? How many staff have been trained? By the end of [fiscal year] how many staff will have received training in information and records management?
8. What training programs are in place to provide specialized training to records management staff and key staff within business units?
9. What training programs are planned related to information and records management for [ministry name] staff?
10. Is there a communications plan in place directed to [ministry name] staff related to information and records management?
11. Has an executive champion for information management been identified? How well is this known in the ministry?

12. What governance and coordination structures are in place for information and records management?

13. What targets and measures have been established to evaluate program performance with respect to information and records management?

14. What monitoring/audit procedures are in place to assess compliance with policies, standards and practices?

15. Is there a records classification system in place at [ministry name]? Does the classification system cover all business units of the ministry? Does the classification system apply to records, regardless of medium in which they are held? Is the classification up-to-date? How is the classification system updated and managed?

16. Is there an automated records tracking system in the ministry? Is it used for all records? Does the tracking system contain metadata to identify location of records and business units controlling the records?

17. To what extent has EIM been planned and implemented in the ministry?

18. Are retention and dispositions schedules completed for all ministry records? Are these schedules up-to-date?

19. Are records routinely disposed of according to retention and disposition requirements? Does this happen for both paper and electronic records?

20. Is there a vital records program in place? Is it integrated into business continuity planning? Have vital records been identified and protected?

21. Have any significant FOIP issues arisen in the ministry and have privacy impact assessments been conducted?

22. Are books, periodicals and other resource materials managed? How? How are needs identified for collections/information to support business areas?

23. Is the ministry in compliance with copyright laws? What procedures are in place to ensure compliance?

Information Collection and Disclosure Requirements

For this area, a review of legislation relevant to [ministry name] business units will be conducted to identify both collection and disclosure requirements as well as any record-keeping requirements.

3. Business Unit Practices Assessment

In consultation with "key contacts" in each business unit, participants would be selected for a facilitated session to complete the assessment tool. The session will last approximately two hours.

The assessment tool will be sent to participants ahead of time, with instructions to, where necessary, consult with staff on current practices. The goal of the facilitated session is to complete an assessment of current practices in each business unit of [ministry name].

Introduction

This tool has been developed to help you assess current information and records management practices. The tool is organized around key information management practices.

A four-point rating scale can be used for each practice. The scale is:

1. **Ad Hoc**: No systematic or formal approach exists for this. Processes and practices are fragmented or non-existent. Where processes and practices exist, they are applied in an ad hoc manner.
2. **Defined**: Process and practices are defined to varying degrees but are not applied consistently. Only basic management controls and disciplines are in place.
3. **Managed**: Processes and practices are well defined. Processes and practices are well documented.
4. **Integrated**: This practice is consistently applied and integrated into the way the business unit operates. The practice is managed and measured.

If a practice is not applicable to your business unit, mark "N/A" in the comments column.

Recorded Information Management

Practice	1. Ad Hoc	2. Defined	3. Managed	4. Integrated	Remarks/Examples
DECLARATION AND CAPTURE					
All official records are captured into the ministry's records management system. *Best Practice: Office records are "declared" to document business decisions and differentiated from transitory records.*					
E-mail messages, as required, are integrated into the records in the business area. *Best Practice: E-mail records documenting business decisions are integrated into the record keeping system and easy to locate.*					
Web records are captured in the ministry's records management system. *Best Practice: Where records exist only in a web environment, they should be integrated into the record keeping system.*					
Imaging standards and practices are in place. *Best Practice: Practices related to scanned images (original vs. electronic output) clearly establish which is the "official copy," quality standards are in place and retention and disposition procedures are clear.*					
CLASSIFICATION/TAXONOMY					
A records classification structure is used across the business unit. *Best Practice: A clear, usable classification helps put order to records and makes them easier to find and use.*					
A taxonomy (common vocabulary) to describe your business is established. *Best Practice: A set of common terms to describe the business can facilitate naming of documents as well as describing content of documents (keywords). Consistent use of the common vocabulary will improve the ability to find information.*					

Practice	1. Ad Hoc	2. Defined	3. Managed	4. Integrated	Remarks/Examples
Consistent classification practices are applied to information assets, regardless of medium. *Best Practice: Both paper and electronic information are classified in a consistent manner.*					
SECURITY AND PROTECTION					
Security classification practices are in place to protect confidential information and other information that should be protected (labeling, storage, transmission, access and use) from unauthorized access. *Best Practice: Information is adequately protected…in storage, transmission, access and use. Information is not "over classified" (protected more than it needs to be). Security classification is based on legislation and threat and risk assessment.*					
Vital records are identified and protected. *Best Practice: Records needed for business resumption have been identified. Procedures for protection of vital records are in place and have been tested. Information that is not truly vital has not been identified as vital (i.e., no "over classification" of vital records).*					
ACCESSIBILITY					
Information on shared drives is accessible to all who need access to it in the business unit. *Best Practice: Those who need information have easy access to it. Information is not overly protected. Information is available when author is away from the office (i.e., not on an individual drive).*					
Components of records (files, documents) are managed in all media (print and electronic) such that a complete record of business transactions can be identified and compiled. *Best Practice: Clear procedures are in place to compile the entire record. The complete records can be brought together for evidentiary needs, access, discovery, and to support business decisions.*					

Practice	1. Ad Hoc	2. Defined	3. Managed	4. Integrated	Remarks/Examples
Procedures are in place for identifying information that is publicly available or can be released on a routine basis. *Best Practice: Clear identification of "public" information support routine disclosure and active dissemination of information. It also cuts down on unnecessary FOIP requests.*					
SCHEDULING AND DISPOSITION					
Records retention and disposition schedules are established for all records and followed. *Best Practice: Records and disposition schedules are established and up-to-date. Clear procedures exists to handle information assets according to approved schedules.*					
Disposition processes are established and followed for records in all media (including electronic). *Best Practice: Information is not kept unnecessarily. Disposition processes are followed, including e-mail.*					
Information of enduring value is identified and preserved for archival purposes. *Best Practice: Information that has been identified as having enduring value for Albertans is identified and protected.*					
FOIP AND LEGAL NEEDS					
Records required for FOIP or the courts are available and meet evidentiary requirements of authenticity and reliability. *Best Practice: Records, as necessary, are protected from unauthorized alteration and are complete.*					
Web records required for FOIP or the courts are available and meet evidentiary requirements of authenticity and reliability. *Best Practice: Web sites are backed up and changes captured to be able to document what the site looked like at a particular time.*					

Practice	1. Ad Hoc	2. Defined	3. Managed	4. Integrated	Remarks/Examples
There is an inventory of Personal Information Banks that includes the authority to collect and conditions of use and disclosure. *Best Practice: An inventory enables the business to make sure that it is collecting and managing personal information in a way that is consistent with legislation legislation.*					
Privacy is protected. *Best Practice: Privacy Impact Assessments are undertaken and privacy is designed into forms, web sites and systems/procedures.*					
Other (specify)					

1. Where are paper records stored for the business unit? Is information adequately secured (based on threat and risk assessment)?

2. How are shared drives managed in the business unit?

3. Does the unit have service providers that maintain recorded information for the business? If yes, how are these contracts managed? Are there service level standards in place? If so, how are these standards monitored and evaluated?

4. What types of risk does the business unit face based on current practices?

5. Is there anything that frustrates you about current practices? Are there things that could be improved?

Data and Database Management

Practice	1. Ad Hoc	2. Defined	3. Managed	4. Integrated	Remarks/Examples
Data standards are in place and consistently used. *Best Practice: Documented data standards facilitate sharing of information, comparison across systems, reporting and analysis.*					
Information systems allow for the sharing of information across different parts of the ministry. *Best Practice: Information systems are accessible for those who need to use them or their information to support the business.*					
System development procedures include specific plans related to access and retrieval of information by staff, by other ministries and by the public. *Best Practice: Clearly articulated development procedures include business area analysis, use, maintenance, security, and performance monitoring. Consistent development procedures enable quality control in systems development.*					
An inventory or map of information repositories has been developed. *Best Practice: Current inventory of information repositories and databases facilitates sharing and leveraging of information.*					
All databases have comprehensive schedules in place for life-cycle management of data. *Best Practice: Database records are identified as official records, covered by retention and disposition schedules, and protected from unauthorized deletion or inadvertent loss.*					
Data storage standards meet the requirements for retention and disposition. *Best Practice: Data is stored in media that will adequately meet retention and disposition requirements (i.e., not stored in media that will not be accessible during the retention period)*					

Practice	1 Ad Hoc	2 Defined	3 Managed	4 Integrated	Remarks/Examples
A long-term strategy for database enhancements (migration of versions, evaluation, and increased functionality) is in place. *Best Practice: Clear planning for enhancements and future releases of applications help manage expectations and integrate data management with long-term business planning.*					
Privacy Impact Assessments (PIAs) are conducted for new applications and new programs that collect personal information. *Best Practice: A PIA can ensure that personal information is adequately protected and included in system design.*					
Other (specify)					

1. What types of risk does the business unit face based on current practices?

2. Is there anything that frustrates you about current practices? Are there things that could be improved?

Information Products and Services

Information products and services include publications, web sites, and other information services (e.g., training programs).

Practice	1. Ad Hoc	2. Defined	3. Managed	4. Integrated	Remarks/Examples
INVENTORY					
An up-to-date inventory of information products and services is in place. *Best Practice: An up-do-date inventory assists accessibility, reduces the potential for duplication, and supports the leveraging of content across different products (e.g., combining information from multiple sources to improve value-added).*					
Intellectual property is identified. *Best Practice: Information that has commercial or intellectual value to the government is identified and protected (e.g., copyright, trademarks, etc.).*					
Practices are in place to protect intellectual property rights (e.g., registration, labeling.) *Best Practice: Clear procedures are in place to protect intellectual property (copyright, trademarks, and to address pricing of information) where applicable.*					
STRATEGY					
A long-term strategy for the electronic delivery of information to stakeholders and the public is established. *Best Practice: A plan for electronic service delivery helps in planning and leveraging of products and services to improve service to clients and the public.*					
STANDARDS AND QUALITY CONTROL					
Service level standards (e.g., response time, transaction completion time, and availability of service) for delivery of information are established. *Best Practice: Service level standards provide a basis for evaluation of products and services.*					

Practice	1. Ad Hoc	2. Defined	3. Managed	4. Integrated	Remarks/Examples
Documented procedures for quality control related to information products and services (accuracy, integrity, authenticity) are established. *Best Practice: Procedures and a clear statement of accountability enable the business to maintain quality of information.*					
Standard protocols or practices related to management of information products and services (e.g., product plan, marketing plan, evaluation plan, and formation of product team) are established. *Best Practice: Information products are developed, maintained, and evaluated based on established procedures and standards. Product development and maintenance includes clear plans for marketing and evaluation.*					
USERS					
Regular assessments of user needs as they relate to information are conducted. *Best Practice: User needs assessments are conducted formally. Results are maintained to be used by other developers of information products.*					
Demand and user needs for information products and services is documented. *Best Practice: Documented user demand affects product development, setting priorities, and resource allocation.*					
Procedures and timelines for reviewing information products and services are established. *Best Practice: Information products and services undergo periodic, formal evaluation. Results of the evaluation influence re-development and enhancement of the product or service.*					
Outdated content and Internet and Intranet is managed (either updated or deleted) *Best Practice: Information that is outdated or no longer of value is deleted or updated.*					
Other (specify)					

1. What types of risk does the business unit face based on current practices?

2. Is there anything that frustrates you about current practices? Are there things that could be improved?

Accountability and Coordination

Practice	1. Ad Hoc	2. Defined	3. Managed	4. Integrated	Remarks/Examples
ACCOUNTABILITY					
Responsibilities for managing electronic files (documents, e-mail messages) as records are established. *Best Practice: Staff understand their responsibilities in managing all information assets – creation, collection, storage, use, security precautions, and disposition. Staff understand what information can be deleted and what information must be maintained.*					
USERS					
New employees receive orientation in responsibilities related to information and records management. *Best Practice: Employees are oriented to responsibilities for information management during the first week of employment.*					
Performance in information management is assessed. *Best Practice: Practices related to responsibilities for information management are reviewed periodically (e.g., during the annual performance review).*					
Exceptional contributions to information management are recognized and rewarded. *Best Practice: Exemplary practices in information management are identified, celebrated and rewarded.*					
When employees leave their positions, records they are managing are transferred to other personnel or are disposed of according to retention and dispositions schedules. *Best Practice: Information is transferred successfully. There is no "orphaned" information in offices or on shared drives.*					
Other (specify)					

1. What types of risk does the business unit face based on current practices?

2. Is there anything that frustrates you about current practices? Are there things that could be improved?

Training and Skills Development

Practice	1. Ad Hoc	2. Defined	3. Managed	4. Integrated	Remarks/Examples
Core competencies for staff have been identified as they relate to information management. *Best Practice: Core competencies are articulated and include skill level of office tools, managing recorded information, and information searching/ retrieval techniques. Articulated competencies influence training plans.*					
Information and records management training is part of staff learning plans. *Best Practice: Training needs related to information management are considered when developing annual learning plans.*					
Staff have received awareness training related to information and records management. (e.g., Managing Information @ Work) *Best Practice: All staff in the business unit have received awareness training related to information and records requirements of government.*					
Updating and refresher courses on information and records management are scheduled for staff. *Best Practice: Needs for refresher courses or advanced training are identified.*					
Other (specify)					

1. What types of risk does the business unit face based on current practices?

2. Is there anything that frustrates you about current practices? Are there things that could be improved?

Integration with Other Planning Activities

Practice	1. Ad Hoc	2. Defined	3. Managed	4. Integrated	Remarks/Examples
IM planning is integrated with the business and financial planning cycle? *Best Practice: An annual information plan is done at the same time as business and financial planning. Information needs are identified in operational planning.*					
Information planning is linked to the annual IT plan? *Best Practice: Information management is identified in IT project planning.*					
Information planning is part of business continuity planning. *Best Practice: Vital records protection (including testing of procedures) are part of ongoing continuity planning.*					
Information planning is integrated with knowledge management. *Best Practice: Information capture, sharing and use supports the capture, sharing and use of expertise and learnings of the business. IM tools are in place to support knowledge capture, sharing and use.*					
Information planning is a part of succession planning. *Best Practice: Information and knowledge risks are identified. Practices are in place to maintain corporate memory.*					
Other (specify)					

1. What types of risk does the business unit face based on current practices?

2. Is there anything that frustrates you about current practices? Are there things that could be improved?

4. Individual Staff Level Assessment

The following survey would be administered to all staff. The survey would be introduced by an e-mail from the Deputy Minister or another executive encouraging staff to complete the survey. The e-mail would contain a link to an Intranet/Internet form that staff could complete.

Information Management Survey

This survey is to help us understand current information management practices and needs at [ministry name]. Your input is vital to ensure that we establish programs and practices to help you do your work and manage the ever-growing amount of information you work with.

All individual responses will be kept confidential. Please take 10 minutes out of your busy schedule to complete the questionnaire.

For responses to be included in our analysis, surveys must be submitted before 5:00 p.m. (MST) on [insert day/date].

Thank you, in advance, for your participation.

Records and Information Management

First, we'd like to get your opinions on how information is currently managed or used in your work area.

1. For each of the following statements, indicate your level of agreement with the statement. (*Please check the appropriate box.*)

	Disagree	Somewhat Disagree	Somewhat Agree	Agree
a. You have a good understanding of your role in the management of information created or received by [ministry name].	☐	☐	☐	☐
b. The ministry is actively creating or collecting information today that you will need in order to do your job in the future.	☐	☐	☐	☐
c. The broader information needs of the ministry are considered as you collect, create or manage information in your area.	☐	☐	☐	☐
d. Records in your area are easy to locate and retrieve.	☐	☐	☐	☐
e. You are aware of and able to access relevant records relating to a specific project or issue from **other** areas in the ministry.	☐	☐	☐	☐
f. Your **own** working files are easily accessible by others in your area when you are away from the office.	☐	☐	☐	☐
g. Your area uses a standard approach for classifying and organizing records.	☐	☐	☐	☐
h. Records in your area are kept up-to-date, are accurate and complete.	☐	☐	☐	☐
i. Records essential to your area have been identified as part of the ministry's business continuity plan.	☐	☐	☐	☐
j. Records of historic, long-term value are identified and preserved.	☐	☐	☐	☐
k. Information you are responsible for is adequately secured.	☐	☐	☐	☐
l. Policies, procedures, standards and guidelines you need in order to do your job are readily accessible.	☐	☐	☐	☐

2. For each of the following items, indicate how easy, in general, it is to: (*Please check the appropriate box.*)

	Very Difficult	Somewhat Difficult	Somewhat Easy	Very Easy
a. Find electronic files **you** have created?	☐	☐	☐	☐
b. Find and access electronic files that **others** have created?	☐	☐	☐	☐
c. Know what version of a document you are looking at?	☐	☐	☐	☐
d. Know the date that a document was created?	☐	☐	☐	☐
e. Know who (individual or business unit) created a document?	☐	☐	☐	☐
f. Find current publications and other external information to support your role and area of technical expertise?	☐	☐	☐	☐

3. How would you rate your knowledge of each of the following? (*Please check the appropriate box.*)

	Don't Know / Not Aware	Low Level of Knowledge	Moderate Level of Knowledge	High Level of Knowledge
a. What a "transitory" record is.	☐	☐	☐	☐
b. How to manage electronic mail effectively.	☐	☐	☐	☐
c. How to create and manage records with FOIP in mind.	☐	☐	☐	☐
d. Your authority to collect and use personal information.	☐	☐	☐	☐
e. How to communicate personal and confidential information in a secure manner by e-mail or facsimile.	☐	☐	☐	☐
f. [Ministry name] information and records management policies and procedures.	☐	☐	☐	☐

4. Have you received orientation or training regarding:

	Yes	No
a. When and how to use the individual drives on the server?	☐	☐
b. When and how to use the shared drives on the server, including folder management ?	☐	☐
c. Managing e-mail?	☐	☐
e. Managing paper records and files?	☐	☐

5. On an average day, how much time would you say you spend **searching for**:

	Less than 1 hour	1-2 hours	3-4 hours	More than 4 hours
Electronic files and documents?	☐	☐	☐	☐
Paper files and documents?	☐	☐	☐	☐
Information using the Internet?	☐	☐	☐	☐
Information on the department or government-wide Intranet?	☐	☐	☐	☐

6. On an average day, how much time would you say you spend **managing**: (e.g., retrieving, naming, saving, organizing)

	Less than 1 hour	1-2 hours	3-4 hours	More than 4 hours
Electronic files and documents?	☐	☐	☐	☐
Paper files and documents?	☐	☐	☐	☐
E-mail?	☐	☐	☐	☐

7. Over the past two years, what would you say has been the biggest improvement in the way information is managed within your area?

8. In your view, what is the biggest information management challenge facing you and/or others in your area?

9. Is there specific training or information you would like to see to help you manage information and records more effectively?

Records Services

We want to know if, and how, you currently use a variety of records services.

10. How frequently do you use the following records services? (*Please check the appropriate box.*)

	Daily	1-2 Times a Week	1-2 Times a Month	A Few Times a Year	Don't Use
Filing and retrieval of active records	☐	☐	☐	☐	☐
Filing and retrieval of semi-active records	☐	☐	☐	☐	☐
Filing and retrieval of inactive records (Alberta Records Centre)	☐	☐	☐	☐	☐
File folder creation	☐	☐	☐	☐	☐
Record/information searches	☐	☐	☐	☐	☐
Transitory records pickup/disposal	☐	☐	☐	☐	☐
Supply Alberta Records Centre boxes	☐	☐	☐	☐	☐
Other (please specify)	☐	☐	☐	☐	☐

11. How satisfied are you with following aspects of service provided by Records Management? (*Please check the appropriate box*):

	Dissatisfied	Somewhat Dissatisfied	Somewhat Satisfied	Satisfied
Response time to your queries	☐	☐	☐	☐
Ability of the records office to find what you are looking for	☐	☐	☐	☐

12. If you don't use some of the services provided by the records offices, what are the primary reasons you are not using these services?

13. Are there any services you would like to see provided by the records management staff?

Intranet Usage

[Ministry name]'s Intranet site makes information available to employees in the department. We are interested in your usage of the site.

14. In an average week, how many times do you visit the [ministry name] Intranet site (available only to employees of the department)?

- ☐ A few times a day
- ☐ Once a day
- ☐ Every couple of days
- ☐ Once a week
- ☐ Less than once a week

15. List the top three reasons you go the [ministry name] Intranet site.

    1.

    2.

    3.

16. What information would you like to access via the Intranet in the future?

Library Services

[Ministry Name]'s Library needs are served by the [insert location of library] of the Alberta Government Library. We are interested in your usage of this service.

17. In an average week, how many times do you use the [insert name] Library?

- ☐ A few times a day
- ☐ Once a day
- ☐ Every couple of days
- ☐ Once a week
- ☐ Less than once a week

18. List the top three reasons you use the [insert name] Library?

    1.

    2.

    3.

19. What information or services would you like the Library staff to provide to support your work?

About You

Finally, we'd like to know a few things about you. Remember, all individual responses will be kept confidential.

20. Which of the following best describes your position in the organization?

- ☐ Senior/Executive Management
- ☐ Management
- ☐ Professional/Technical
- ☐ Administrative Support

21. What is the location of your office?

- ☐ Edmonton – [insert location]
- ☐ Calgary
- ☐ Other – please specify_____

22. How long have you been working at [ministry name]?

- ☐ Less than one year
- ☐ 1-2 years
- ☐ 3-5 years
- ☐ More than 5 years

THANK YOU FOR YOUR INPUT!

Appendix 2:
Sample Communications Plan

Introduction

This plan is meant to guide initial communications activities related to the Information Management Strategic Plan at [ministry name]. The plan will be updated annually.

Objectives

The following objectives have been identified for [fiscal year]:

1. Build awareness of the Information Management Strategic Plan.
2. Build an understanding among branches about how the strategic plan will be implemented to support business practices though coaching and support.
3. Position the [branch name] as the "focal point" for improved information management practices within the ministry.

On the following pages target audiences, key messages, activities and targets for each of these objectives are identified.

Building Awareness

Target Audiences	Key Messages	Activities	Target Outcomes
Executives and managers Line staff within branches	The strategic plan will support a consistent and disciplined approach to managing information to support business needs. It is a ministry strategy that information must be managed and implemented locally (within branches). There are best practices to draw from. [Name of Branch] will champion the initiatives and support implementation.	Information Management section of ministry Intranet [Date] IM Strategic Plan posted on the ministry web site [Date] Core PowerPoint presentation to be used in branch meetings [Date] Presentation to Executive Committee [Date] Bi-monthly brown bag lunches on selected topics [Date and ongoing] "Tip of the Month" posted on Intranet with notice sent to staff	80% of staff are aware of ministry Information Management Strategic Plan. 60% of staff know where to find "tips," guidelines and best practices for IM on ministry Intranet. Presentation to all branches by [Date].

Building Understanding In Branches

Target Audiences	Key Messages	Activities	Target Outcomes
Branch management Line staff	What the strategic plan means for branches. What's happening. How to access tools and best practices (focal point for sharing).	Branch meetings (agenda item once each quarter) [Ongoing]	Presentation to all branches prior to [Date] Branch IM designates selected and known by branch staff.

Position [branch] as 'focal point' for IM initiatives

Target Audiences	Key Messages	Activities	Target Outcomes
Executive Committee Branch Managers Line staff	Update on IM initiatives, and progress made. Identifying issues that need greater coordination.	Quarterly update to Executive Committee [Ongoing] Monthly meetings of Information Management Coordinating Committee (IMCC) [Ongoing] Bi-monthly brown-bag lunches/seminars [Ongoing]	Effective coordination as evidenced by satisfaction of IMCC members with roles and achievements. 80% of staff know and are satisfied with leadership provided by [Name of Branch]. Quarterly IM updates to Executive Committee.

Appendix 3: Resources

The following resources may also be of assistance to you in assessing your information and records management program and in preparing a strategic IM plan for your organization:

- Government of Canada, Information Management Capacity Check (http://www.collectionscanada.ca/information-management/0603/060301_e.html)
- ARMA International, RIM e-Assessment (to view and order, see http://www.netdiligence.com/ and http://www.arma.org/)
- International Records Management Trust, Records Management Capacity Assessment System (http://www.irmt.org/)